Approved for use through 09/30/2007. OMB 0651-0031 U.S. Patent and Tredemark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Osheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Co	mplete if Known	•
Application Number	10/574,414	_
Filing Date	03/22/2007	_
First Named Inventor	Simon William BARKER	
Art Unit		
Examiner Name		_
Attorney Docket Number	76773 CCD	_

U. S. PATENT DOCUMENTS Name of Patentee or Byáminer Publication Date Cite **Document Number** Pages, Columns, Unes, Where MM-DD-YYYY Applicant of Cited Document Relevant Passages or Relevant Figures Appear Number-Kind Code^{2 (# known)} /KL/ ^{US-} 6,120,621 09-19-2000 Jin et al. US- 2003/000679 A1 /KĽ 01-02-2003 Strezov et al. US- 2002/124990 A1 09-12-2002 Nikolovaki et al. /KL ^{US-} 5,515,908 05-14-1996 Harrington ^{US-} 3,345,738 10-10-1967 Mizikar et al. US-US-US-UŚ US-US US-US-US TIS US-US-

		FORE	IGN PATENT DOCL	IMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ "Number ⁴ "Kind Code ⁸ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	רן
/KL/		EP1100638 B1	04-21-2004	BHP Steel JLA		Г
/KL/		JP 02-179343 A	07-12-1990	NISSHIN STEEL		T
/KL/		EP 0732163 A2	09-18-1996	BHP Steel JLA		Г
/KL/		EP 0670757 B1	08-18-1999	BHP Steel JLA		
/KL/		EP 0874703 A1	11-04-1998	Kaiser A tuminum		Г
/KL/		EP 0583867 A1	02-23-1994	Kaiser Aluminum	•	

1	Examiner Signature	/Kuang Lin/	Date Considered	11/16/2007
ı	Ungiliaturo	:	Considered	11/10/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant, "Applicant's unique citation designation number (optional)." See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must procede the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.15 if possible. Papplicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form end/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450.

TO: Commissioner for Patents, P.O. Box 4450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet

Examiner

Signature

/Kuang Lin/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Col	mplete if Known	
Application Number	10/574,414	
Filing Date	03/22/2007	******
First Named Inventor	Simon William BARKER	
Art Unit		
Examiner Name		
Attorney Docket Number	76773 CCD	

Examinar Initials*	or Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages or Relevant Figures Appear
	ļ	Number-Kind Code ^{2 (# known)} US-	- 		, .ga.oz,,pp.c
	ė	US-	1.	•	
···		US-			,
		US-			
	 	US-			
		US-			
		US			
		US-			
•		US-			
		US-			
<u>`</u>		US-			
	1	US-			

			IGN PATENT DOCL		
Examiner Cite Initials* No.	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages
		Country Code ³ "Number ⁴ "Kind Code ³ (If known)	MM-DD-YYYY		Or Relevant Figures Appear
/KL/		EP 0094688 A1	11-23-1983	Japan Casting Forging	
					·
,					,

		: Initial if reference considered, whether or not citation is				
		Include copy of this form with next communication to app				
		ent Documents at www.uspto.gov or MPEP 901.04. 3 En				
Japar	iese pa	tent documents, the indication of the year of the reign of th	e Emperor must precede the serial n	umber of the pa	tent document. Skind of doc	ument by
the a	pproprie	ate symbols as indicated on the document under WIPO S	tandard ST.16 if possible. Applicar	nt is to place a	check mark here if English I	enguage
Trans	istion is	s attached.				

Date

Considered

11/16/2007

Transistion is attached.
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Approved for use through 09/30/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

		Complete If Known			
Subsinu	te for farm 1449/P10			Application Number	10/574,414
INF	ORMATION	DIS	CLOSURE	Filing Date	03/22/2007
STA	TEMENT B	BY A	PPLICANT	First Named Inventor	Simon William BARKER
	Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necassary) Sheet 3 of 3	Art Unit			
		ecassary)	Examiner Name		
Sheet	3	of	3	Attorney Docket Number	76773 CCD

NON PATENT LITERATURE DOCUMENTS

Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	European Patent Office, Supplementary European Search Report dated 02-27-2007 in EP 04 78 9690	
	·	
	Cite No.	No. the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. European Patent Office, Supplementary European Search Report dated

/Kuang Lin/ 11/16/2007 Signature Considered *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Date

Examiner

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English tanguage Translation is attached.

This collection of Information is required by 37 CFR 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form end/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (07-06)
Approved for use through 09/30/2006. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute	for form 1449/PTO			Complete if Known		
			•	Application Number	10/574,414	
INFO	RMATION D	ISCLOS	URF	Filing Date	March 31, 2006	
i e	EMENT BY		- · · · -	First Named Inventor	BARKER, Simon William	
SIAI				Art Unit	u/k	
		EMENTAĻ		Examiner Name	u/k	
	(Use as many shee	its as necessary	<u>" </u>			
Sheet	1	of	2	Attomey Docket Number	76773 CCD	

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		Number-Kind Code 2 (# known)	_1		Figures Appear
/KL/		us-4,614,224	09/30/1980	JEFFREY, Paul W. et al.	
		us-6,120,621	09/19/2000	JIN, Iljoon et al.	
		`us-6,470,959 B1	10/29/2002	DESROSIERS, R. et al.	**************************************
		us-4,945,974	08/07/1990	HONEYCUTT III, LeRoy	
		us-4,934,443	06/19/1990	HONEYCUTT III, LeRoy et al.	
		us-4,749,027	06/07/1988	ALLYN, Jerome B. et al.	
1/		us-4,793,400	12/27/1988	WOOD, Richard A.	
V		us-3,345,738	11/10/1964	MIZIKAR, E.A. et al.	
/KL/		us-4,250,950	02/17/1981	BUXMANN, Kurt et al.	
		US-			
		US- ,			
		US-	 	·	<u> </u>

		FOREIGN	PATENT DOC	UMENTS		
	Cite No.1	Foreign Patent Document	Foreign Patent Oocument Publication Date MM-DD-YYYY		Pages, Columns, Lines, Where Relevant Passages	
	<u> </u>	Country Code ³ -Number ⁴ -Kind Code ^{5 (f known)}			or Relevant Figures Appear	
/KL/		WO 05/032744 A1	04/14/2005	GALLERNEAULT, Willard M.T. et al.		
						Γ
				_		Γ

Examiner	/Kuang Lin/	Date	11/16/2007
Signature	/Kuang Lin/	Considered	11/16/2007
		700112120100	•

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw tine through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentialey is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Three will vary depending upon the individual case. Any comments on the amount of time you require to complete this form another supposes for reducing this burdon, in bould be seen to the Other Information Officer, U.S. Patient and Tradenium Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patanta, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 09/30/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO INFORMATION DISCLOSURE				Complete if Known			
			IDE	Application Number	10/574,414		
STATEMENT BY APPLICANT		Filing Date	March 31, 2006				
		First Named Inventor	BARKER, Simon William				
(Use as many sheets as necessary)				Art Unit	u/k		
			ry)	Examiner Name	u/k .		
Sheet	2	of	. 2	Attorney Docket Number	76773 CCD		

		The state of the s					
		NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
/KL/		FIELD, Michael, KAHLES, John F., and KOSTER, William P., Surface Finish and Surface Integrity, Metals Handbook, Ninth Edition, Volume 16, 1989, published by ASM International, Metals Park, Ohio, pp. 19-23.	·				
/KL/		SONG, J.F. and VORBURGER, T.V., Surface Texture, ASM Handbook, Volume 18, 1992, published by ASM International, Metals Park, Ohio, pp 334-345.					
			,				
•							

(Communication			n.	
Examiner //	Kuang Lin/		Date	44/40/0007
Signature //	Kuang Lin/	·	Considered	11/16/2007
0.3	**************************************			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional).

Applicant's unique citation designation number (optional).

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

IAP20 Rec'd PCT/PTO 31 MAR 2006

Approved for use through 7/31/2006, OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

11/16/2007

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 1 of 1

Complete if Known

Application Number To Be Assigned 1 4 4 1 4

Filing Date Herewith

First Named Inventor Simon William BARKER

Art Unit To Be Assigned

Examiner Name To Be Assigned

Attorney Docket No. NOVE-110US

			U.S. PATE	NT D	OCUMENTS			
Examiner Initials*	Cite No.1	Document Number Number - Kind Code ^{2 (If known)}	Publication D (MM-DD-YY)			of Patentee or of Cited Document	Pages, Columns, Lines, W Relevant Passages or Rele Figures Appear	
/KL/		US-4934443	Jun. 19, 199	90	Honeycutt			
1	1	US-4250950	Feb. 17, 198		Buxman			
		US-5515908	May 14, 199	-	Harrington			
	<u> </u>	US-6135199	Oct. 24, 200	00	Wyatt-Mair			
	-	US-6063215	May 16, 200		Harrington			
7//		US-4061177	Dec. 6, 197		Silvelotti			
$-\Lambda$	i – –	US-4061178	Dec. 6, 197		Silvelotti			
7KL/	 	US-5636681	Jun. 10, 19	77	Sulzer			
		US-						
·		US-						
		US-						
		US-						
		US-			,			
		US-						
	1	US-				•		
	1	US-						
		US-						
		US-				`		
		US-						•
	1	US-						
•			OREIGN PA	TENT	T DOCUMEN	TS		
Evamina	Cita	Foreign Patent Docum		Publication Date		Name of Patentee o	Pages, Columns, Unes, Where Relevant Passages or Relevant	
Examiner Initials*	Cite No.1	Country Code ³ - Number ⁴ - Kind	Code ^{s (Ir known)} (MM-DD-YYYY)		Document	Figures Appear	۲	
/KL/		Fr 1364717		Ma	y 19, 1964	France		F
		1		7 4 4000		l =		

Jun. 4, 1998

Japan

Date

Considered

'Applicant's unique citation designation number (optional).

/Kuang Lin/

JP 63132751

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

⁶Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND.TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.